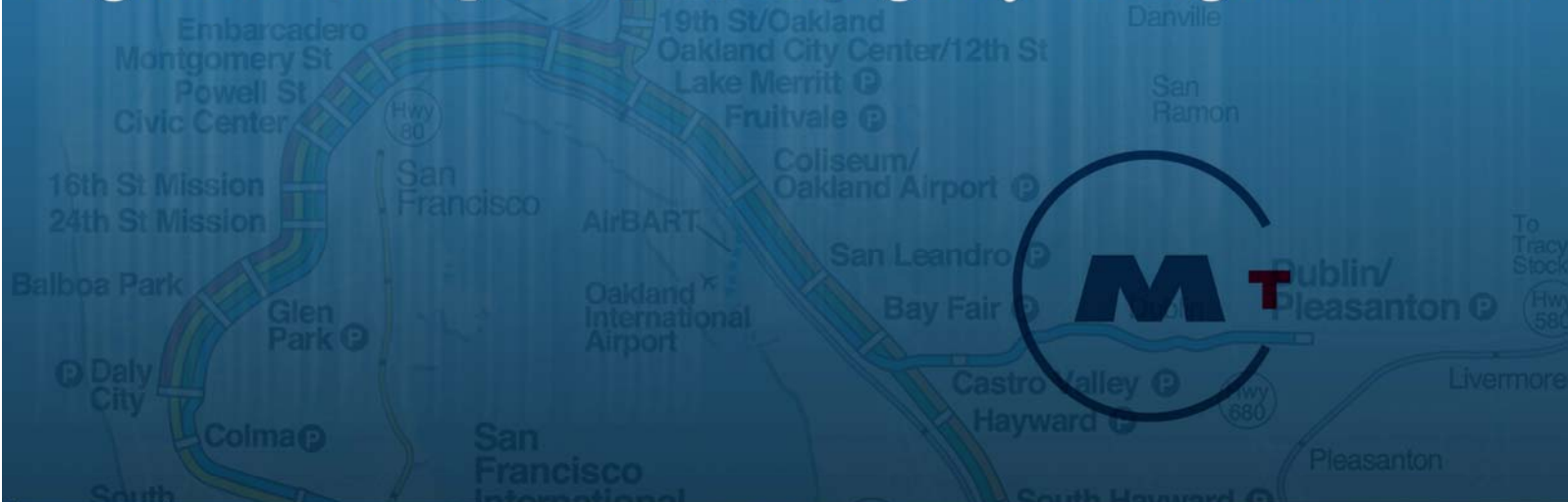


An aerial photograph of the San Francisco Bay Area, showing the city skyline, the bay, and surrounding hills. The image is used as a background for the title section.

San Francisco Bay Area

Regional Transportation Emergency Management Plan



*Deliverable 24 - Regional
Recommendations for Improvement*

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ACRONYMS

AAR	After Action Report
BAEPIN	Bay Area Emergency Public Information Network
DOC	Department Operations Center
EAS	Emergency Alert System
EMAC	Emergency Management Assistance Compact
EOC	Emergency Operations Center

EOP	Emergency Operations Plan
FE	Functional Exercise
IAP	Incident Action Plan
IC	Incident Command
ICS	Incident Command System
JFO	Joint Field Office
JIC	Joint Information Center
JIS	Joint Information System
MAC	Multi Agency Coordination Center
MTC	Metropolitan Transportation Commission
NGO	Non-government Organization
NIMS	National Incident Management System
OES	Office of Emergency Services (State)
PIO	Public Information Officer
RECP	Regional Emergency Coordination Plan
REOC	Regional Emergency Operations Center
RTEMP	Regional Transportation Emergency Management Plan
SEMS	Standardized Emergency Management System
SOC	State Operation Center
TRP	Trans Response Plan
TRP-07 FE	San Francisco Bay Area Trans Response Plan 2007 Functional Exercise
UC	Unified Command

1 INTRODUCTION

The Metropolitan Transportation Commission (MTC) has been involved in regional emergency preparedness since the Loma Prieta earthquake in 1989. Following the earthquake, the region's transportation agencies developed a set of interagency agreements and procedures to respond to future disasters. This effort resulted in the Trans Response Plan (TRP), which was adopted by participating agencies in 1997, as well as a master mutual aid agreement between the nine largest transit operators. The TRP defines the functions, responsibilities, and procedures for developing a multimodal response to an emergency.

The TRP-07 Functional Exercise (FE) was developed to exercise a coordinated regional response to multiple terrorist incidents in the Bay Area based on the TRP, the San Francisco Bay Area Regional Transportation Emergency Management Plan (RTEMP), and the National Incident Management System (NIMS). The exercise was conducted on November 14, 2007, and included the activation of ten transportation agency emergency and/or department operations centers (EOC/DOC).

The TRP-07 FE was a 6-hour exercise involving transportation agency EOCs/DOCs. The exercise focused on service suspension and resumption; information sharing; transit agency EOC management; shift change procedures; and public information in response to terrorist incidents.

1.1 PURPOSE OF REPORT

The purpose of this report is to assist MTC and Bay Area transportation agencies in implementing recommendations from the TRP-07 FE After Action Report (AAR). To this end, this report identifies specific procedures and, where applicable, example forms, that can be implemented by transportation agencies and used as the basis for development of agency-specific plans, policies, and procedures.

1.2 REGIONAL RECOMMENDATIONS FOR IMPROVEMENT

Throughout the TRP-07 FE several opportunities for improvement were identified. The regional areas for improvement, including recommendations, are as follows:

- Emergency Public Information and Warning
 - MTC and Bay Area transportation agencies did not jointly develop or release a coordinated public message. The implementation of a Joint Information System (JIS) through the use of a real or virtual Joint Information Center (JIC) is recommended.

- Information Sharing and Dissemination
 - Procedures for sharing and disseminating information to other agencies should be formalized and exercised. This includes the use of situation status reports, inter-agency conference calls, and improved incident action planning.
- Service Suspension and Resumption Protocols
 - Many agencies' emergency operations plans (EOP) have not recently been updated. In addition, most operating agency EOPs do not contain a decision matrix for the suspension or resumption of service. All agencies should conduct a plan review, make appropriate changes, and train EOC and emergency staff on the revised plan.
- Information Verification Protocols
 - Many agencies found the assessment of the accuracy or currency of information received by EOC staff from indirect sources challenging. Verification protocols should be developed and implemented to assist staff with the confirmation of information during emergencies.
- Status Tracking of Action Items
 - EOC/DOC staff experienced difficulty in tracking the status of action items. A pre-established process for identifying, prioritizing, and tracking action items until they are resolved should be developed by each agency for inclusion in their respective EOPs.
- EOC/DOC Staff Training Levels
 - Although agencies' A Shift personnel performed well, B Shift personnel demonstrated the need for more training and exercises. In addition to further training, agencies should blend their A and B shift personnel during future exercises and EOC activations to allow for mentoring and knowledge sharing.

2 REGIONAL RECOMMENDATIONS FOR IMPROVEMENT

2.1 EMERGENCY PUBLIC INFORMATION AND WARNING

Coordinated and timely public information is a critical component of an effective response to an incident or planned event, and must be coordinated and integrated across transportation agencies. Well developed public information, education strategies, and communications plans help to ensure that lifesaving measures, evacuation routes, threat advisories and alert systems, and other public safety information is coordinated and communicated to all stakeholders in a timely and consistent manner.

Public information consists of the processes, procedures, and systems to communicate timely and accurate information on the current status of an incident or planned event to the public, and other stakeholders that may be directly or indirectly affected. Public information also includes the processes, procedures, and organizational structures required to gather, verify, and coordinate public information.

The public information mission during an incident is to get the right information to the right people at the right time so they can make the right decisions.

The information contained within this report can be found in *The National Incident Management System (NIMS)* [FEMA 501/Draft August 2007, pages 29, and 69-74]; and *Basic Guidance for Public Information Officers (PIOs), the National Incident Management System (NIMS)* [FEMA 517/November 2007].

Public Information—Where It Fits

Public information guidance and plans for the regional coordination and release of public information should be addressed as an annex to the Regional Transportation Emergency Management Plan (RTEMP).

The Public Information Annex of the RTEMP should include:

- Public Information Mission
- Joint Information System (JIS) Structure
- Joint Information Center (JIC) Organization
- JIC Concept of Operations
- JIC position checklists of actions (for various stages and types of incidents)

The annex may also include sample news releases or Emergency Alert System (EAS) messages.

NIMS Public Information Principles

NIMS describes three basic principles for public information:

1. The Public Information Officer (PIO) supports the Incident Command.
2. Public information functions must be coordinated and integrated across jurisdictions and functional agencies; among Federal, State, local, and tribal partners; and with private-sector and nongovernmental organizations (such as the American Red Cross).
3. Organizations participating in incident management retain their independence.

2.1.1 JOINT INFORMATION SYSTEM OVERVIEW

It is common for PIOs from different transportation agencies to interact on a regular basis to share information and ideas. A JIS provides the mechanism to organize, integrate, and coordinate information to ensure timely, accurate, accessible, and consistent messaging across multiple agencies. The JIS integrates incident information and public affairs into a cohesive organization designed to accomplish all of the above.

The mission of the JIS is to provide a structure and system for developing and delivering coordinated interagency messages; developing, recommending, and executing public information plans and strategies on behalf of the Incident Command, agency DOCs, or EOCs; advising incident management concerning public affairs issues that could affect a response effort; and controlling rumors and inaccurate information that could undermine public confidence in the incident response effort.

The JIS includes the plans, protocols, procedures, and structures used to provide information to:

- Passengers
- Transportation agency employees
- The general public
- Disaster victims
- Affected jurisdictions
- Elected officials
- Community leaders
- The private sector
- The media
- Other government agencies
- Non-Governmental Organizations (NGOs) (e.g., American Red Cross)
- Other impacted groups

Key elements of the JIS include the following:

- Interagency coordination and integration;
- Gathering, verifying, coordinating, and disseminating consistent messages;
- Support for decision-makers; and
- Flexibility, modularity, and adaptability.

Transportation agencies issue their own releases related to their policies, procedures, programs, and capabilities; however, messages need to be coordinated utilizing the JIS to ensure message consistency.

How the Joint Information System Operates

The JIS is activated based on the complexity of the situation and the need to ensure coordination and integration of messages. In an emergency or planned event, activation and implementation of the JIS can include any of the following:

- Two PIOs talking on the phone about an incident that involves both of their agencies
- A PIO at the EOC talking to a PIO at the site of the incident
- PIOs from several agencies working together at a single location.
- Many PIOs from many agencies working from several locations—all working together to ensure clear and accurate information is being delivered to the public.

Through the JIS, transportation agency PIOs are able to create coordinated and consistent messages by collaborating to:

- Identify key information that needs to be communicated to the public;
- Craft messages that convey key information, and are clear and easily understood;
- Prioritize messages to ensure timely delivery of information without overwhelming the audience;
- Verify accuracy of information through appropriate channels, including Incident Command and relevant agencies and program areas; and
- Disseminate messages using the most effective means available.

Principle of Autonomy

Transportation agencies participating in incident management retain their autonomy. The transportation agencies that contribute to the JIS do not lose their individual identities or responsibility for their own programs or policies.

The JIS helps PIOs accomplish this mission by facilitating coordination. PIOs also rely on specific tips to avoid conflicting messages, such as:

- Focusing on one or two key messages.
- Using pre-scripted messages, as appropriate.
- Using talking points.
- Designating spokesperson(s) for media interviews.
- Speaking about one's own program—not others' programs.

2.1.2 JOINT INFORMATION CENTER OVERVIEW

To ensure coordination of public information during incidents that involve multiple transportation agencies, MTC and/or transportation agencies may use a JIC to support the gathering, verification, coordination, and dissemination of accurate, accessible, and timely information. The JIC is a central location (physical and/or virtual) that facilitates operation of the JIS. It is a location where personnel with public information responsibilities perform critical emergency information functions, crisis communications, and public affairs functions.

JICs are established:

- At the direction of the Incident Command/Unified Command, MTC, or transportation agency EOCs
- At pre-determined or incident-specific sites

JICs may be staffed:

- By representatives from all transportation agencies and jurisdictions involved in the response and recovery operation

Pre-incident activities for planning and preparing to establish a physical JIC include:

- Establishing a dedicated location where PIOs can work;
- Identifying equipment and supplies—what you need and where you'll get it;
- Wiring the location for phone, internet access, cable, etc.; and
- Practicing “morphing” the space into a JIC, as quite often such dedicated spaces are used for other purposes during non-emergency times.

The JIC should be located close to the best sources of information, such as an EOC, without compromising safety or security of the personnel staffing the facility. A single JIC location is preferable, but the system is flexible and adaptable enough to accommodate virtual or multiple JIC locations, as required.

Types of Joint Information Centers (JICs)

Incident	Typically, an incident specific JIC is established at a single, on scene location in coordination with Federal, State, tribal, and local agencies or at the national level, if the situation warrants. It provides easy media access, which is paramount to success. This is a typical JIC. Transportation agency PIOs may be asked to staff an incident JIC if their system is impacted by the incident.
Virtual	A virtual JIC is established when a physical co-location is not feasible. It connects PIOs through e-mail, cell/land-line phones, faxes, video teleconferencing, web-based information systems, etc. This is the most likely type of JIC to be utilized by transportation agencies for coordination within the transportation sector.

2.1.3 STEPS FOR DEVELOPING/ESTABLISHING A JOINT INFORMATION SYSTEM AND JOINT INFORMATION CENTER

Developing and establishing a JIS and a JIC include a preparedness cycle of developing and maintaining plans and procedures, checklists, contact lists, and public information materials. This section details some factors that should be considered in the development and establishment of a JIS and JIC.

Public Information Communications Planning

Preparedness is critical for a successful response to an emergency or planned event. Information communications strategies and planning are essential to all aspects of public information. Emergency public information plans should include processes, protocols, and procedures that require the development of draft news releases, media lists, contact information of elected officials, community leaders, private sector organizations, and leads for public service organizations to facilitate the dissemination of accurate, consistent, accessible, and timely public information to numerous audiences.

Training

Properly trained personnel will provide the cornerstone to any JIS and JIC. Public information personnel should participate in ongoing training related to emergency management. Training should include basic public relations, ICS courses, and courses on writing media releases, conducting media interviews, and understanding the role of a JIC. Detailed below are public information courses available that support NIMS and SEMS, and provide a foundation for the development of a JIS and JIC.

- Introduction to the Incident Command System (ICS-100)
<http://training.fema.gov/EMIWeb/IS/is100.asp>
- ICS for Single Resources and Initial Action Incidents (ICS-200)
<http://training.fema.gov/EMIWeb/IS/is200.asp>
- Intermediate Incident Command System (ICS-300)
<http://www.fema.gov/about/contact/statedr.shtm>
- National Incident Management System (NIMS), An Introduction (IS-700)
<http://training.fema.gov/EMIWeb/IS/is700.asp>
- Basic Public Information Officers Course (G-290)
<http://training.fema.gov/EMIWeb/EMICourses/E388.asp> and
<http://www.fema.gov/about/contact/statedr.shtm>
- Advanced Public Information Officer (E-388)
<http://training.fema.gov/EMIWeb/EMICourses/E388.asp>
- Advanced Incident Command System (ICS-400)
<http://www.fema.gov/about/contact/statedr.shtm>
- National Incident Management Systems (NIMS), Public Information Systems (IS-702) <http://training.fema.gov/EMIWeb/IS/is702.asp>
- National Response Plan (NRP), An Introduction (IS-800)
<http://training.fema.gov/EMIWeb/IS/is800a.asp>

Communication Resources

Methods of communicating with the public may include the use of the Emergency Alert System (EAS), agency or emergency websites (511.org), information hotlines, amateur radio, and other alerting and messaging systems.

Websites have become an especially important tool in disseminating emergency information. Agency and emergency websites can also be a vehicle for the media and public to submit inquiries during an incident. Additionally, transportation agencies should coordinate with local jurisdictions to establish protocols for posting emergency information.

Emergency information posted to websites should include, but is not limited to, the following:

- Press releases
- Situation reports
- Maps
- Other emergency information and instructions

Contact Lists

It is recommended that all contact lists (e.g., media, PIO, and other agencies) be updated every three months. Contact lists should include basic information such as telephone numbers (e.g., office, home, cell), fax numbers, e-mail addresses, and Web sites and be easily accessible either as an annex to public information plans; or included as a separate sheet within a “Go Kit (see below for ‘Go Kit’ description).”

Go Kits

It is important for PIOs to have tools and resources available for utilization during an incident. Transportation agencies might consider the development of a Go Kit for their PIOs. Although this is not a complete list, a Go Kit might include:

- Office supplies such as pens, paper, stapler, tape, etc.
- Laptop computer and portable printer with an alternate power source(s), including accessories (e.g., memory stick, CDs, mouse, etc.)
- Maps
- Television, radio, and/or broadcast recording equipment
- Cell phones/Personal Data Assistants (PDAs)
- Spare cell phone battery and charger
- Fax machine
- Agency letterhead
- Public Information Annex and other emergency operations plans (EOPs)
- Camera
- Contact lists
- Battery powered radio
- Pre-scripted messages and template releases

Go Kits should include more than just equipment and technology resources. Some other resources to include in your Go Kit are:

- Contact information for transportation agency employees and other PIOs who may be called into service
- Contact information for news media
- Pre-scripted Emergency Alert System messages, news releases, fact sheets, and backgrounders
- Your “Smart Book.” Your own creation, your Smart Book can include any factual information you might be asked for, such as service population,

number of stations, size and description of geographic or infrastructure features (e.g., size of service area, length of bridge, seismic safety)

Prior to an incident or planned event, agreements with businesses or agencies that can assist with public information operations should be established. Examples of business services that may be required during an incident or planned event include: translation services; printing services (to publish brochures, fact sheets, or other emergency documents); and telephone companies to install hard-line telephones.

Additional Support

It is important for transportation agencies to develop a core group of public information personnel who can respond to an incident or planned event. These personnel may be from other agencies or volunteers who have been trained in public information. These personnel work at the JIC, or EOC as required by the needs of the incident, performing a variety of public information functions. These critical personnel should be identified prior to any incident or planned event and provided EOC and JIC training, as well as other public information training.

Important guidelines for supplementing public information staff include:

- Have agreements to supplement staffing in place **before** the need arises.
- Request help sooner rather than later.

Methods for supplementing regular PIO staff during emergencies include:

- Hiring part- or full-time staff with public information expertise;
- Using employees or “on-call” staff with public information expertise;
- Contracting with a public affairs firm for certain functions, for example, web site maintenance or language translation; and
- PIO mutual aid groups.

Exercises

Participation in preparedness exercises provides opportunities to practice and test public information capabilities; to identify strengths, best practices; and areas for improvement; and to improve and maintain proficiency in a controlled environment. Exercises assess and validate policies, plans, and procedures, and clarify and familiarize personnel with roles and responsibilities. Exercises improve interagency coordination and communication, highlight gaps, and identify opportunities for improvement.

It is recommended that local media be involved in drills and exercises; local media should be encouraged to role play during drills and exercises in addition to covering the

incident. This adds a sense of realism and stress to an exercise, and contributes to valuable lessons learned.

2.1.4 RECOMMENDATIONS FOR IMPLEMENTATION

- Form a working group (led by MTC, of transportation agency PIOs) to analyze the plans, policies, procedures, personnel, and other requirements for establishing a JIS and a JIC.
- MTC should develop procedures to meet transportation sector public information needs and coordination requirements. These procedures should be based on the findings and recommendations of the working group identified above.
- Identify, schedule, and provide appropriate training to personnel assigned to public information positions and functions. Follow-on exercises, in the form of workshops and tabletop exercises, should be conducted to validate procedures and training.

2.2 INFORMATION SHARING AND DISSEMINATION

The collection and dissemination of information is a critical aspect of effective emergency response. The success of a regionally coordinated response depends on effectively collecting information, converting the information into actionable intelligence, sharing the intelligence with emergency response partners, and translating the intelligence into effective response activities. Situation status reports, Regional Summaries, and conference calls between transportation agencies can be effective methods of collecting and disseminating information; and coordinating response efforts.

MTC has specific emergency response functions assigned the RECP. During a regional emergency or disaster, a representative from the MTC reports to the Coastal Regional Emergency Operations Center (REOC) to staff the Transportation Branch. While conducting operations at the REOC, the MTC liaison participates in Operations Section meetings; provides input to the action planning process; coordinates the provision of resources in response to requests from transit agencies; and provides communication and coordination links to transportation organizations in the Bay Area by maintaining communication with the MTC EOC. To ensure the success of this process, information sharing procedures among transportation agencies and MTC should be well defined.

2.2.1 SITUATION STATUS REPORTS

During a disaster, situation status reports are used to define affected areas, agencies, and jurisdictions; identify closed roads, highways, and other affected transportation routes; estimate the number of casualties and fatalities; and gather all other essential information. The collection and verification of this information is critical as it is needed to identify operation problems and determine the immediate needs of the affected agency or jurisdiction.

Situation status reports are used by the command/management and general staff within the EOC for decision-making and development of an Incident Action Plan (IAP), and thus are required to be thorough, accurate, and clear. Additionally, situation status reports are a source of confirmed data and incident intelligence that MTC and other EOCs can use in planning and decision making. MTC also uses information received for the development of the Regional Summary.

During the exercise, most agencies submitted situation status information on a standardized form created by MTC, however various versions were used. The report form should be analyzed to ensure the appropriate data elements are included. While a standard situation status report form for transportation agencies is ideal, it may not be feasible. Standardized data sets, agreed upon by MTC and transportation agencies, will allow the ease of reporting for the Regional Summary. An example situation status report form has been attached as Appendix A.

2.2.1.1 RECOMMENDATIONS FOR IMPLEMENTATION

- The example form provided should be reviewed by MTC, transportation agency representatives, and stakeholders to ensure ease of use and ensure all required data elements are included. The example situation status form should be modified as necessary based on stakeholder recommendations.
- Personnel within the transportation agency EOC that have a role in documenting situation status, including the Situation Status Unit within the Planning Section, should be provided the recommended Situation Status Form with appropriate instructions and/or training on the use of the form.
- Once the situation status form has been modified and accepted, and training been provided to users, validation of the form should be included as an objective in a follow on EOC activation or exercise. The form should be changed as necessary based on lessons learned, and reviewed on a regular basis (i.e., twice annually) by MTC and transportation agencies.

2.2.2 CONFERENCE CALL PROCEDURES

Conference calls provide a mechanism for timely and accurate information sharing. The Regional Summary provided by MTC can be supplemented with a conference call between transportation agency representatives. The conference call may be scheduled between the releases of Regional Summaries and should be facilitated by MTC. This will allow transportation agencies to provide additional updates, make requests, and understand the regional status of transportation during an evolving situation. It will also allow MTC to verify information for the development of the subsequent Regional Summary.

The primary purpose of each call is to verify information; provide input to the regional action planning process; and coordinate the provision of resources. Conference calls may only be necessary during incidents of significant magnitude or as determined by the MTC EOC Director.

2.2.2.1 CONFERENCE CALL PROCEDURE EXAMPLE

The structure of conference calls conducted by the MTC EOC during an emergency should have a pre-formatted, standardized agenda that is familiar to conference call participants. Protocols should be developed for conference calls and made available to and agreed upon by involved parties. This will help to lessen the tendency of participants to stray from the agenda.

Conference calls should be conducted according to the following standard procedure:

1. The MTC EOC Director (or designee) determines necessary participants and announces the conference call by email, telephone, or radio.
Participants may include:
 - Agency EOC Directors, or designees who have the authority to make decisions and commit resources
 - Section Chiefs or other representatives at the agency EOC
 - Representatives of other organizations, as determined by the MTC EOC Director.
2. The MTC EOC Director (or designee) distributes the time, access phone number, access password, and call agenda via email, telephone, or radio.
3. The MTC EOC Director (or designee) assigns a staff person from the Planning/Intelligence Section documentation unit to document the call.
4. A roll call of participants is conducted at the start of the call.
5. The following discussion format is followed during the call:
 - Announce the conference call topic or issue to be addressed
 - Roll call status on this topic (only) from all participants
 - Announce current situation/problem
 - Identify resource gaps and recommended service priorities
 - Discuss options/feedback
 - MTC EOC Director (or designee) advises participants of next steps.

2.2.2.2 RECOMMENDATIONS FOR IMPLEMENTATION

- Procedures for conducting transportation agency conference calls should be developed collaboratively between MTC and the TRP Committee. Once developed, procedures should be included within the Regional Transportation Emergency Management Plan (RTEMP).
- Review the technological capacity of MTC EOC facilities to ensure proper connectivity and the capability of the MTC to host the emergency management conference calls during an incident.
- During the development process, draft procedures should be provided to transportation agency stakeholders by MTC for review and comment; appropriate modifications should be made, as necessary.

- MTC should provide personnel with training on the conference call procedures; procedures and training should be validated by conducting an exercise of appropriate scope annually.
- A test of conference call equipment and capability should be conducted monthly.

2.2.3 INCIDENT ACTION PLAN (IAP) DEVELOPMENT

During the TRP-07 FE, participating agency EOCs demonstrated a lack of familiarity with the development and application of an Incident Action Plan (IAP). Additional training and exercise opportunities were recommended to improve the capability of participating agencies to develop and implement an IAP. Due to the nature of this recommendation, it will be covered in depth in a forthcoming deliverable (D27-Recommendation on EOC Action Planning).

2.3 SERVICE SUSPENSION AND RESUMPTION PROTOCOLS

2.3.1 EXERCISE OBSERVATIONS

For the purposes of the TRP-07 FE, participating transportation providers either developed draft plans and procedures for service suspension and resumption, utilized existing plans, or created procedures ad hoc. Most agencies utilizing protocols for suspension did not include a decision matrix to assist personnel and executive leadership in identifying threat criteria. Although all agencies made the decision to suspend service, some did so only after learning that other agencies had suspended service. A variety of methods were used to simulate the resumption of service. Staff from participating transportation provider EOCs identified the most critical issues related to service suspension and resumption primarily through internal discussions.

While participating operating agencies successfully simulated service suspension and resumption, it was observed that there are few written procedures to guide assessment and discussion of service suspension and resumption. It was recommended that transportation providers compare the ad hoc procedures used during the exercise to resume service and identify best practices. Service resumption strategies used during the exercise, as well as lessons learned regarding the resumption strategies, should then be documented and used as the basis for the development of formalized plans. Each operating agency should also evaluate its capabilities and riders' needs to create a formalized resumption plan or revise existing plans as necessary. Once policies and procedures have been documented, they should be included in the transportation agency's Emergency Operation Plans (EOP), with requisite training provided to personnel responsible for implementation.

Although the development of documented service suspension and resumption protocols was listed as a regional recommendation for improvement following the TRP-07 FE, each participating operating agency is responsible for the development and formalization of internal suspension and resumption procedures.

2.3.2 D28 – SERVICE SUSPENSION AND RESUMPTION PROCEDURES

In an on-going effort to support MTC in development of service suspension and resumption procedures due to an act of terrorism for rail, bus, and ferry service operators, D28 was developed for MTC. D28 summarizes best practices and identifies specific suspension and resumption procedures that can be applied by bus, ferry, and rail operators. The procedures identified within D28 are intended for use by transportation agencies, but can and should be modified to meet the specific needs and requirements of the individual agencies respectively. Additionally, D28 contains detailed checklists intended for use by operational staff (i.e., bus drivers, etc.) and EOC

personnel; checklists contained therein are not intended to supersede any standard operating procedures (SOPs) currently in place.

2.3.3 RECOMMENDATIONS FOR IMPLEMENTATION

- Best practices, lessons learned, and any pre-existing procedures related to service suspension and resumption should be shared between transportation agencies and MTC. The After Action Report (AAR) for the TRP-07 FE identifies which agencies have pre-existing procedures for service suspension and resumption (i.e., BART, CCCTA), as well as methods developed ad hoc. The development of a sub-committee as a vehicle for sharing information related to service suspension and resumption should be explored.
- Transportation agencies should consider the use of D28 as a guideline or tool for developing service suspension and resumption policies and procedures. The checklists and procedures contained within D28 are adaptable, and can easily be modified to meet individual agency requirements.
- Once service suspension and resumption procedures are developed, transportation and operating agency personnel, including both transportation agency staff and EOC personnel, should be trained in the implementation of those procedures. Follow-on tabletop exercises (TTX) should then be held by transportation agencies to identify strengths and areas for improvement, as well as to validate the effectiveness of plans and training. A train-the-trainer program should be used to educate all transportation agency staff.
- A TTX focused on transit operators' suspension and resumption procedures should be hosted by MTC after procedures are written. This will provide another forum for the sharing of best practices and lessons learned.

2.4 INFORMATION VERIFICATION PROTOCOLS

During the TRP-07 FE, many participating operating agencies experienced challenges when assessing the quality of information received by EOC staff from indirect sources. It was observed that standard verification protocols to assist staff with the confirmation of information during emergencies were not in place.

The collection, analysis, verification, and sharing of incident information are important elements of the NIMS, SEMS, and ICS. The primary role of the EOC is to collect, validate, analyze and organize emergency information. Information and situational intelligence are management functions located within the Planning Section of transportation agency EOC organization, with a focus on three incident intelligence areas: situation status, resource status, and anticipated incident status or escalation (e.g., weather forecasts, location of supplies, etc.). This information and intelligence is applied toward the decision making process within an EOC.

Information regarding an incident can be divided into two categories: raw data and confirmed data. Sources of raw data include media reports, public reports, intuition, and assumptions. Confirmed data is drawn from situation reports; field observer reports; other sources within the EOC; the Planning Section and/or Situation Unit; and display boards within the EOC. Because raw data is not sourced from official channels for communication and coordination, it must be confirmed and verified.

The process of verifying the accuracy of information collected is accomplished by documenting the raw data into message and information control forms which can be analyzed, evaluated, and verified by consultation with official sources (field observers, sources within the EOC, situation reports, etc.). To accomplish this task, documentation should be organized to include essential fields for gathering information; recommendations on the organization of these forms are made below. If the raw data provided is regarding another agency [i.e. MTC is informed that Bay Area Rapid Transit (BART) service has been suspended from a source other than BART], instructions for call takers to make contact with the agency in question to confirm the information received should be in place.

Once information is verified, it should be identified as being verified, and be included in the overall information base related to the emergency (i.e. included within incident status boards and briefings).

2.4.1 RECOMMENDATIONS FOR IMPLEMENTATION

- The operating agency EOCs should utilize a standard call taking form that includes, but is not limited to, the following fields or data elements: time received; caller name and position, agency, and call back number; a brief synopsis of the information provided; and any action required. An example form is provided in Appendix B.

- Procedures for contacting partner agencies or jurisdictions, about whom raw data or information is received, for verification of the information in question, should be in place. These procedures should be included as part of the standard call taking form.
 - All “raw data” needs to be confirmed
 - When receiving information about a transportation agency from another source, call that agency immediately to confirm
- The call taker form and contacting procedures identified above should be used by EOC personnel in follow on exercises, evaluated for usability, and revised as necessary.

2.5 STATUS TRACKING OF ACTION ITEMS

While participating in the TRP-07 FE, operating agency EOC/DOC personnel experienced difficulty in tracking the status of action items. Participating agencies are in need of a pre-established process for identifying, prioritizing, and tracking action items through resolution.

During the response phase of the emergency management cycle, the real-time tracking of ongoing events and action items is critical. Transportation agency resources may be in short supply while requests for information and action pile up. Managing these requests requires a tremendous amount of information. The primary mission of the EOC is to collect and manage information related to the status of the incident and the resources assigned to mitigate it. This mission requires an effective and robust information management system. An effective information management system should include the capability to track multiple incidents and resources; communicate activities and significant events; and provide documentation. An operations log capability is also needed to fulfill the requirement to document and track tasks, events, or ongoing action items. Additionally, as part of the information management system, all information collected and tracked must be easily and readily accessible to EOC personnel.

A need was also identified for a system for EOC personnel to track ongoing events and action items at the regional level. It is incumbent upon each agency or organization to explore what protocols or systems will best suit the requirements of the individual agency or jurisdiction.

2.5.1 RECOMMENDATIONS FOR IMPLEMENTATION

- Each transportation agency EOC should develop and implement usage of a system for identifying, prioritizing, and tracking action items. A sample operations log is provided in Appendix C.
- EOC personnel should be trained on maintaining an operations log.
- Administrative personnel should be included as scribes within the EOC to record, track, and update all decisions, operations, action items, and events during an EOC activation.

2.6 EMERGENCY OPERATIONS CENTER / DEPARTMENT OPERATIONS CENTER STAFF TRAINING LEVELS

It was observed during the TRP-07 FE that the EOC training levels varied between EOC shifts. Although A Shift personnel performed effectively, B Shift personnel demonstrated some need for additional training and exercises. The TRP-07 FE AAR indicated that the EOC operations (i.e., briefings, roles and responsibilities) were inconsistent between operational periods. It was also indicated that some personnel participating in the exercise were unfamiliar with their position roles and responsibilities, contributing to an inefficiency of operations. These issues were attributed to a lack of experience in conducting operations within an EOC by some personnel and varying levels of training of EOC personnel. Personnel with roles in emergency management and incident response at all levels of government must be appropriately trained and prepared to coordinate with regional partners, mobilize and allocate resources, make critical decisions, and communicate clear and accurate information.

Opportunities for consistent levels of training and experience should be created for all EOC personnel. Training on EOC operations, familiarizing personnel, especially those new to EOC positions, with the resources available within the EOC, and training on emergency operation plans are essential components to the development of a training curriculum. Mentoring, or “shadowing” opportunities allow less experienced personnel to observe more experienced personnel; incorporating these opportunities in exercises allows less experienced staff to ask questions of experienced staff and should be incorporated in future exercises. Coordinated planning, training to common standards, and inclusive exercises provide a foundation for an effective overall response to an incident by EOC personnel.

2.6.1 RECOMMENDATIONS FOR IMPLEMENTATION

- Each transportation agency should establish a standard training curriculum to be provided to personnel who may be assigned positions within the EOC (no matter what shift). This curriculum should include IS-100, IS-700, SEMS training, as well as training on the use of facilities and equipment within the EOC, at a minimum.
- Provide opportunities to practice skills and demonstrate knowledge during drills and functional exercises at least once a year.
- Consider mixing A and B shifts during future exercises and EOC activations to allow for mentoring and knowledge sharing.
- The NIMS/SEMS training matrix should be used as the guide in developing curriculum and establishing training standards. The NIMS/SEMS training matrix has been attached as Appendix D.

- A “train-the-trainer” approach should be employed, where experienced personnel from EOC shift A provide training to shift B/C/D personnel.

APPENDIX A: SAMPLE EOC SITUATION STATUS REPORT

Agency: _____ Contact/Phone: _____

Situation Status Report

1. Incident Name: _____ 2. Date/Time of Incident: _____
3. Incident Type: _____ 4. Incident Location: _____
5. Areas Affected: _____
6. Report as of: _____ 7. Weather: _____

8. Current Status/Major Events:

Operating <input type="checkbox"/>	Suspended <input type="checkbox"/>
System Capacity: _____	Prognosis for Return to Service: _____

Response/Recovery Priorities:

Un-shaded areas are required entries

MTC Fax 510 817-5930

9. CURRENT SITUATION DETAIL	YES/NO	COMMENTS, ETC.
A. SIGNIFICANT DAMAGE		
B. DEATHS/INJURIES (ESTIMATE)		
C. FACILITIES DAMAGE		
D. UTILITY PROBLEMS/OUTAGES		
E. COMMUNICATION AFFECTED		
F. ROUTES AFFECTED		
G. EVACUATIONS OF TRANSIT SYSTEM		
H. CRITICAL ISSUES		
I. OTHER PROBLEMS		

APPENDIX A: SAMPLE EOC SITUATION STATUS REPORT

10. SYSTEMS AFFECTED	YES/NO	COMMENTS, ETC.
A. ROADS		
B. BRIDGES		
C. AIRPORTS		
D. MARINE FACILITIES		
E. RAILROADS/TRANSIT TRAINS		
F. OTHER		

11. RESPONSE	MUTUAL AID REQUIRED	COMMENTS, ETC.
A. EOC ACTIVATED		
B. EMPLOYEE WELFARE		
C. LAW ENFORCEMENT		
D. FIRE/RESCUE		
E. HEALTH/MEDICAL		
F. CONSTRUCTION/ENGINEERING		
G. MUTUAL AID RECEIVED		
H. MUTUAL AID REQUIRED		

	IMPROVING	NO CHANGE	WORSENING
12. OVERALL PROGNOSIS (CHECK ONE)			

APPENDIX B: SAMPLE EOC CALL TAKING/MESSAGE FORM

Message Form

(Check one)

Life Threatening ☐

Urgent ☐

Non-Urgent ☐

Date:	Time:	(Circle One) AM / PM
(Check One)		
Sent / Received via:	Telephone <input type="checkbox"/>	Message # _____
	Radio <input type="checkbox"/>	
	Fax <input type="checkbox"/>	Incident # _____
	Walk-in <input type="checkbox"/>	
Message to:	Agency:	Phone:
Message from:	Agency:	Phone:
Sent/Received by:	Section:	Phone:

Write Message Below: (Press hard, Print legibly)

(Check One) Raw Data- Needs Confirmation <input type="checkbox"/>	Confirmed Data <input type="checkbox"/>
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APPENDIX B: SAMPLE EOC CALL TAKING/MESSAGE FORM

Routing Assigned by Sections	(Check either "Action" or "Info" on each line)		Action Required
MANAGEMENT	Action Needed	Info only	
EOC Manager	<input type="checkbox"/>	<input type="checkbox"/>	
EOC Liaison Officer	<input type="checkbox"/>	<input type="checkbox"/>	
JPB Liaison Coordinator	<input type="checkbox"/>	<input type="checkbox"/>	
Public Information Officer	<input type="checkbox"/>	<input type="checkbox"/>	
FINANCE			
Finance Officer	<input type="checkbox"/>	<input type="checkbox"/>	
LOGISTICS			
Logistics Officer	<input type="checkbox"/>	<input type="checkbox"/>	
Communications Officer	<input type="checkbox"/>	<input type="checkbox"/>	
OPERATIONS			
Operations Officer	<input type="checkbox"/>	<input type="checkbox"/>	
PLANNING			
Planning Officer	<input type="checkbox"/>	<input type="checkbox"/>	

APPENDIX C: SAMPLE OPERATIONS LOG

Time Received	Event Information	Event ID #	Action Required	EOC Section Responsible for Action	Status (In-progress/completed)

APPENDIX D: NIMS/SEMS TRAINING MATRIX

NEW!

Standardized Emergency Management System National Incident Management System Training Guidance Matrix	SEMS Introduction 1-2 hours	SEMS EOC 8 hours	SEMS Executive 1-2 hours	ICS 100 (IS 100) 1 hour	ICS 200 (IS 200) 7 hours	ICS 402 1-2 hours	NIMS (IS 700) 2-4 hours	NRP (IS 800) 3-4 hours	SEMS – NIMS-ICS The Combined Course *Equivalent to taking SEMS Intro., ICS 100 & 200 and IS 700 8 hours	ICS 300 16 hours Required by end of FY 08	ICS 400 14 hours Required by end of FY 08
Click on the “X’s” to link to training materials or resources.											
Required: All public employees who may be tasked, directed or called upon for an emergency. At all levels of government and all phases of emergency management. Recommended: CBOs, NGOs, Private Sector, Volunteer Orgs., etc.	X			X			X		X		
Personnel who assist or support the incident organization but do not normally supervise others. Recommended: CBOs, NGOs, Private Sector, Volunteer Orgs., etc.	X			X	X		X		X		
Personnel who supervise a branch, division, group or unit in the field or Emergency Operations Center. Recommended: CBOs, NGOs, Private Sector, Volunteer Orgs., etc.	X	X		X	X		X	X	X	X	
Personnel in the Command/Management or General Staff at an Incident or Area Command or in a Emergency Operations Center. Recommended: CBOs, NGOs, Private Sector, Volunteer Orgs., etc.	X	X		X	X		X	X	X	X	X
Executives, administrators and policy makers within agencies that are required to support a SEMS emergency response or recovery organization. Recommended: CBOs, NGOs, Private Sector, Volunteer Orgs., etc.			X			X	X	X			

Course delivery times will vary depending on the experience level of the audience and organization applications. SEMS User Organizations must assess internal training needs and make curriculum delivery adjustments as necessary.

February 2007